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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: SHIGERU TANAKA and GARY ASHLEY STAFFORD
Serial No.: 09/322,201
Filed: May 28, 1999
For: SPECIALLY SHAPED BALLOON DEVICE FOR USE IN SURGERY AND METHOD OF USE

TRANSMITTAL LETTER

Hon. Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION under 37 CFR 1.53(d)(1), which was mailed by the Patent Office on June 28, 1999 enclosed are:

- ☒ Declaration by the inventors.
- ☒ Power of Attorney
- ☒ Assignment of the invention to GENERAL SURGICAL INNOVATIONS, INC. and Assignment Cover Sheet.
- ☒ A copy of the Notice to File Missing Parts of Application under 37 CFR 3.53(a).

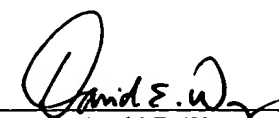
-Total Claims	<u>42</u> (-20 <u>22</u> x \$18)	\$ 440.00
-Independent Claims	<u>5</u> (-3 <u>2</u> x \$78)	\$ 156.00
-Multiple Dependent Claim(s)	(\$260)	\$
-Statutory Basic Filing Fee	(\$760)	\$ 760.00
-Surcharge 37 CFR 1.16(e)	(\$130)	\$ 130.00
TOTAL OF ABOVE CALCULATIONS		\$1486.00
-Reduction for Small Entity (1/2)		\$
-Assignment	(\$40)	\$ 40.00
TOTAL FEES SUBMITTED HERewith		\$1526.00

- ☒ A check in the amount of \$ 1526.00 to cover the above fees is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the fees associated with this communication, or credit any overpayment, to Deposit Account 12/2475.
- ☒ I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date of signature hereof with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

LYON & LYON LLP

Date of Signature: August 5, 1999

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By: 
David E. Wang
Reg. No. 38,358

Attorneys for Applicant

Rep'n, Ref: 08/10/1999 SARAYA 0008541900
DAH: 122475 Name/Number: 09322201
FC: 704 \$44.00 CR



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/322,201	05/28/99	TANAKA	S 236/238

LYON & LYON LLP
633 WEST FIFTH STREET
47TH FLOOR
LOS ANGELES CA 90071-2066

0242/0628

NOT ASSIGNED

3731

DATE MAILED:

06/28/99

MIP due: 8/28/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 1442.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 396 for 22 total claims over 20.

\$ 156 for 2 independent claims over 3.

\$ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(b)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center

Patent Examination Division (703) 308-1202

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